

R10 InfoPage

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Q&D - Office of Air, Waste & Toxics - Corrective Action Permits Team - Records Disposition Schedules

RECORD SERIES	DISPOSITION	NARA #
Link to the common	Link to your full printable	
Housekeeping Schedule	OAWT - PTG	
not included in this table	File Plan Spreadsheet	
ADMINISTRATIVE RECORDS - PERMITS: The administrative record is required for issuance of draft and final permits for Prevention of Significant Deterioration (PSD), Resource Conservation and Recovery Act (RCRA), National Pollutant Discharge Elimination System (NPDES), and Underground Injection Control (UIC), when EPA is the permitting authority. The record includes the permit application, draft permit or notice of intent to deny, statement of basis and documentation, the environmental impact statement (NPDES only), comments received during the public comment period, public hearing transcripts and related documentation, and the final permit. Item a: RCRA land disposal Item b: UIC and UIC exemptions Item c: NPDES minor permits Item d: All other permits Includes NPDES except minors, pretreatment, ocean dumping, section 404 dredging and fill, PSD, and TSCA PCB disposal. Function: 204-079 210	Item a: Disposable Close inactive records at issuance of administrative record. Destroy 30 years after file closure. Item b: Disposable Close inactive records at issuance of administrative record. Destroy 30 years after file closure. Item c: Disposable Close inactive records at issuance of administrative record. Destroy 10 years after file closure. Item d: Disposable Close inactive records at issuance of administrative record. Destroy 10 years after file closure.	N1-412-07-36 Status: Final, 06/30/2007 This schedule authorizes the disposition of the record copy in any media (media neutral). Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.
COMPLIANCE FILES: Contains records used to determine compliance with pollution regulations and to recommend legal enforcement actions if necessary. Includes compliance schedules, inspections, reports, correspondence, inventories, sampling and analytical data, field notebooks, and related documents. Also includes notices of noncompliance, and compliance orders that do not result in enforcement actions. Item a: Record copy Function: 108-025-08 211	Item a: Disposable Close inactive records at end of year. Destroy 5 years after file closure.	N1-412-07-1/10 Status: Final, 12/31/2007
CONTRACT MANAGEMENT RECORDS: Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC).	Item b: Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract. Item c: Disposable	N1-412-06-6/5 Status: Final, 10/31/2008

<p>unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275.</p> <p>Item b: Contract-level Contracting Officer's Representative (COR) Formerly called Project Officer (PO)</p> <p>Item c: Other Contracting Officer's Representative (COR) Includes Delivery Order CORs, Simplified Acquisition CORs, Task Order CORs, and Work Assignment CORs. Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)</p> <p>Function: 405 202</p>	<p>assignment.</p> <p>Destroy 6 years and 3 months after final payment for the overall contract.</p>	
<p>CONTROLLED & MAJOR CORRESPONDENCE: Includes signed controlled and major correspondence. The correspondence significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies. Records consist of copies of incoming letters, copies of the responses, and enclosures. Also includes indexes to the correspondence.</p> <p>Item b: Other federal employees</p> <p>Function: 404-141-02-01141</p>	<p>Item b: Disposable Close inactive records at end of year. Destroy 10 years after file closure.</p>	<p>N1-412-06-10</p> <p>Status: Final, 2/28/2011</p>
<p>DIRECTIVES AND POLICY GUIDANCE DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS: Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.</p> <p>Item a(1): Published or released to the public and related background materials - Nonelectronic</p> <p>Item a(2): Published or released to the public and related background materials - Electronic</p> <p>Item a(3): Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives</p> <p>Item b: Unpublished or not released to the public and related background materials</p> <p>Function: 306-112 007</p>	<p>Item a(1):Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives in 5 year blocks, 20 years after file closure.</p> <p>Item a(2):Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b:Disposable Close inactive records upon decision to not publish or issue. Destroy 10 years after file closure.</p>	<p>N1-412-06-7</p> <p>Status: Final, 12/31/2010</p>
<p>ENFORCEMENT ACTION FILES: Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger. Includes correspondence, meeting documentation, inspections, field notebooks, evaluations, documentation of administrative actions including notices of violation, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions,</p>	<p>Item a:Disposable Close inactive records upon settlement or closing of case. Destroy 10 years after file closure.</p> <p>Item b: Disposable Close inactive records upon settlement or closing of case. Destroy 20 years after file closure.</p>	<p>N1-412-07-2/9</p> <p>Status: Final, 1/31/2011</p>

<p>including consent decrees, and discovery requests.</p> <p>Item a: Administrative case files, whether a formal enforcement action is initiated or not</p> <p>Item b: Judicial case files where routine legal actions are required</p> <p>Item c(1): Landmark or precedent cases - Nonelectronic Includes cases as designated by the Regional Administrator's designee.</p> <p>Item c(2): Landmark or precedent cases - Electronic Includes cases as designated by the Regional Administrator's designee.</p> <p>Item c(3): Landmark or precedent cases - Electronic copy of records transferred to the National Archives Includes cases as designated by the Regional Administrator's designee.</p> <p>Function: 108-025-08 207</p>	<p>settlement or closing of case.</p> <p>Transfer to the National Archives in 5 year blocks 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p>Item c(2): Permanent Close inactive records upon settlement or closing of case.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item c(3): Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-07-34</p> <p>Status: Final, 7/31/2010</p>
<p>GRANTS & OTHER PROGRAM SUPPORT AGREEMENTS: Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit organizations, Tribes, and other institutions to which EPA is a party, and that support EPA's environmental programs (other than Superfund site-specific, and waste water construction and state revolving fund grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and that provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.</p> <p>Also includes supporting documentation. Specific types of records include, but are not limited to, documentation of significant actions and decisions relating to and supporting the award of agreements, documentation of actions and decisions relating to the competition of agreements, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement oversight activities, non-compliance documentation, dispute documentation, audit records, closeout documentation for completed agreements; and reports and evaluations resulting from agreements.</p> <p>Excludes: Final products and deliverables (EPA 258), Superfund site-specific grants and agreements (EPA 001), and waste water construction and state revolving fund grants (EPA 232).</p>	<p>Item a: Disposable Close inactive records immediately after closeout of the agreement.</p> <p>Destroy 10 years after file closure.</p>	

<p>Permit Appeal Files: Contains records used to document the appeal process of permits issued by EPA regional offices. Includes copies of the administrative record, requests for evidentiary hearings, responses and/or petitions for review and responses, reply briefs, hearing transcripts, research, settlement records, orders, motions and final decisions of the Regional Administrator, Administrative Law Judge and/or Environmental Appeals Board. Item a: Record copy</p>	<p>Item a: Disposable Close inactive records when final decision on appeal is handed down. Destroy 10 years after file closure.</p>	<p>N1-412-07-22/3 Status: Final, 05/31/2007</p>
<p>204-079 236</p>		
<p>PERMIT FILES: Contains records used in the issuance or denial of a permit issued by EPA offices or authorized states, federal facilities, interstate or local agencies. Includes draft and final permits; major and minor permits; permit modifications; general, special, emergency, research, interim permits, and others. Consists of the notification form, permit applications, background and supporting documentation, public notices, comments and records of public meetings, fact sheets, exception reports, appeals, delistings, correspondence, financial assurance documents, and other related records. Excludes: RCRA program permits scheduled as EPA 478. Item c: All others, excluding those covered in items a, b and d Includes: UIC (except when EPA is permitting authority and UIC exemptions); NPDES (except minors); pretreatment; sewage treatment; ocean dumping; new source review (NSR) (including prevention of significant deterioration (PSD)), nonattainment NSR, and minor NSR); and Toxic Substances Control Act (TSCA) polychlorinated biphenyls (PCB) disposal.</p>	<p>Item c: Disposable Close inactive records at permit renewal or termination (revocation or expiration) or at end of calendar year. Destroy 10 years after file closure.</p>	<p>N1-412-08-6 Status: Final, 01/31/2011</p>
<p>Function: 204-079 205</p>		
<p>PUBLIC HEARINGS FILES: Contains records used in conducting public hearings at which interested groups comment on proposed indirect sources regulations, compliance schedules, transportation control regulations, and similar matters. Records consist of citizen and congressional inquiries, administrative documentation arranging the hearing, public notice of hearing, and copy of hearing transcript, and related documents. Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives</p>	<p>Item a(1): Permanent Close inactive records upon completion of hearing. Transfer to National Archives 10 years after file closure. Item a(2): Permanent Close inactive records upon completion of hearing. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p>	<p>N1-412-08-4 Status: Final, 2/28/2011</p>
<p>Function: 305-109-02-04 230</p>	<p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p>	
<p>RCRA CORRECTIVE ACTION FILES: Contains records documenting corrective action measures as imposed through a RCRA permit. Includes RCRA Facility Assessments (RFA), RCRA Facility Investigations (RFI), Corrective Measures Studies (CMS), Corrective Measures Implementation (CMI), and related documents. Excludes: Corrective actions that become</p>	<p>Item a(1): Permanent Close inactive records at permit renewal or termination. Transfer to the National Archives 20 years after file closure. Item a(2): Permanent Close inactive records at permit renewal or termination.</p>	<p>N1-412-07-54/6 Status: Final, 1/31/2011</p>

<p>Item a(2): Corrective actions for RCRA land disposals - Electronic</p> <p>Item a(3): Corrective actions for RCRA land disposals - Electronic copy of records transferred to the National Archives</p> <p>Function: 108-025-08 206</p>	<p>external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	
<p>RCRA GENERATORS, TRANSPORTERS, & TSD FACILITIES FILES: Records relate to generators, transporters, and TSD (treatment, storage and disposal) facilities as required by Subtitle C of the Resource Conservation and Recovery Act (RCRA). Includes notification forms, permit applications and modifications, background and supporting documentation, public notices, drafts and final permits, comments and records of public meetings, fact sheets, exception reports, appeals, import and export notifications, closure and post-closure documents, inspection reports, court orders, manifests, delistings, correspondence, financial assurance documents, records relating to interim status, and other related records. Also includes Regional Off-Site Contact (ROC) records related to facilities approved to receive CERCLA wastes, including phone logs, inspection reports, and related records. reports, and related records.</p> <p>Item a(1): RCRA land disposal permits - Nonelectronic</p> <p>Item a(2): RCRA land disposal permits - Electronic</p> <p>Item a(3): RCRA land disposal permits - Electronic copy of records transferred to the National Archives</p> <p>Item b: Other permits for generators, transporters, and TSD facilities. Includes facilities that comply with regulations without following the usual permitting process.</p> <p>Function: 108-025-05 478</p>	<p>Item a(1): Permanent Close inactive records at permit renewal or termination.</p> <p>Transfer to the National Archives 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p>Item a(2): Permanent Close inactive records at permit renewal or termination.</p> <p>Transfer to the National Archives 5 years after file closure with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records at permit renewal or termination.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-6</p> <p>Status: Final, 4/30/2011</p>
<p>STATE AND OTHER ENTITY RELATIONS AND OVERSIGHT FILES: Contains records used to oversee programs operated in lieu of a federal program by states and other entities. Includes reports, inspections, inventories, correspondence, program reviews, and corrective actions.</p> <p>Item a: Record copy</p> <p>Function: 301-093 203</p>	<p>Item a: Disposable Close inactive records at end of year.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-1/9</p> <p>Status: Final, 03/30/2007</p>
<p>Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including state and other federal agency personnel. Records consist of working files generated during training development phase, training workgroup meeting notes, correspondence, training participation surveys and rosters, instructional materials, manuals, and other training aids.</p> <p>Excludes: Records for training administered by the Personnel program scheduled as EPA 571.</p>	<p>Close inactive records after course or material is superseded.</p> <p>Destroy 5 years after file closure.</p> <p>c: Permanent Close inactive records after course or material is superseded.</p> <p>Transfer nonelectronic records to the National Archives in 5 year blocks, 20 years after file closure.</p> <p>Transfer electronic records to the National Archives 5 years after file closure, with any related</p>	<p>Status: Final, 03/30/2007</p>

Item c: Mission related training materials 305-109-02-04 200		applicable at the time. Delete EPA reference copy 20 years after file closure.	
EPA NON-RECORDS: Consists of nonrecord copies. Nonrecord materials are those Agency-owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition. Examples of Non-Records: Technical Reference Materials, News Clippings, Convenience Copies, Stocks of Forms, Publications, and Processed Documents, Materials Not Appropriate for Preservation, Library or Museum Materials, Working Papers and Drafts. Function: 0 008		Item a:Disposable Close when obsolete, superseded or no longer needed for reference. Destroy immediately after file closure.	NOT APPLICABLE Status: Final, 02/12/2007
Accessibility		EPA Locator	EPA Home
One EPA Workplace		A-Z Index	Region 10 Pacific Northwest (Internet)
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